FEB 2 8 2006

PTO/SB/21 (09-04)

Approved for use through 07/31/2006, OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Application Number 10/816,228 Filing Date TRANSMITTAL March 31, 2004 First Named Inventor **FORM** Chaves Art Unit 2875 Examiner Name Rehm (to be used for all correspondence after initial filing) Attorney Docket Number 3084.028 Total Number of Pages in This Submission **ENCLOSURES** (Check all that apply) After Allowance Communication to TC Fee Transmittal Form Drawing(s) Appeal Communication to Board Licensing-related Papers of Appeals and Interferences Fee Attached Appeal Communication to TC Petition (Appeal Notice, Brief, Reply Brief) Amendment/Reply Petition to Convert to a Proprietary Information After Final Provisional Application Power of Attorney, Revocation Status Letter Affidavits/declaration(s) Change of Correspondence Address Other Enciosure(s) (please identify Terminal Disclaimer below): Extension of Time Request Form PTO/SB/08b Request for Refund Express Abandonment Request CD, Number of CD(s) Information Disclosure Statement Landscape Table on CD Certified Copy of Priority Remarks Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT & BAGGETT Signature Printed name JULÍE A. HOPPER Date Reg. No. 50.869 81 6W CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: Signature JULIÉ A. HOPPER Date 2128106 Typed or printed name

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Chaves

Appl. No.: 10/816,228

Filed: March 31, 2004

Title: Optical Device for LED-based Lamp

Group Art Unit: 2875

Examiner: Rehm

Attorney Docket No.: 3084.028

Confirmation No.: 7326

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Date: 2/28/06

Julic A. Hopper Reg. No. 50,869

INFORMATION DISCLOSURE STATEMENT

MAIL STOP AMENDMENT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

This Information Disclosure Statement is submitted:

<u>X</u>	under 37 CFR 1.97(b), or (Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
	under 37 CFR 1.97(c) together with either a: Statement under 37 CFR 1.97(e), or a \$180.00 fee under 37 CFR 1.17(p), or (After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
_	under 37 CFR 1.97(d) together with a: Statement under 37 CFR 1.97(e), and a \$180.00 fee set forth in 37 CFR 1.17(p). (Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

X Applicant(s) submit herewith Form PTO/SB/08B Information Disclosure Statement by Applicant, together with copies of patents or patent applications, publications, or other information of which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

SINSHEIMER, SCHIEBELHUT & BAGGETT

Julie A. Hopper

Attorney/Agent for Applicant(s)

Reg. No. 50,869

February 28, 2006

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Telephone No.: 858-587-7655

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known		
				Application Number	10/816,228	
			JRE	Filing Date	March 31, 2004	
				First Named Inventor	Chaves	
				Art Unit	2875	
	(Use as many sheets as neces	ssary)		Examiner Name	Rehm	
Sheet	1	of	1	Attorney Docket Number	3084.028	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
		International Search Report and Written Opinion, PCT/US2004/38162, mailed November 30, 2005	
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Examiner	Date
Signature	Considered

*EXAMINER: Initial it reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

'Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English tanguage Translation is attached.

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